

Express Mail Label No. EV415770575US  
PATENT  
Docket No. 199372003910

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Naoki SHINDO, et al.

Serial No.: Not Yet Assigned

Filing Date: Concurrently herewith

For: SUBSTRATE PROCESSING  
APPARATUS AND SUBSTRATE  
PROCESSING METHOD

Examiner: Not Yet Assigned

Group Art Unit: 3743

Parent Serial No.: 10/034,520

Parent Filing Date: December 28, 2001

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 10/034,520, filed December 29, 2001, and, accordingly, copies are not included herewith. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record in the application.

This Information Disclosure Statement is submitted:

- ☒ With the divisional application; accordingly, no fee or separate requirements are required.
- ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114.
- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.

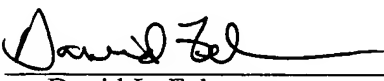
Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal form is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 199372003910. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: February 13, 2004

Respectfully submitted,

By:   
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<b>Form PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>	Docket Number 19937200390	Application Number Not Yet Assigned
	Applicant  Naoki SHINDO , et al.	
	Filing Date Concurrently herewith	Group Art Unit 3743
	Mailing Date February 13, 2004	

### U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	04/1979	4,150,494	Rothchild, R.			
	2	09/1991	5,051,135	Tanaka et al.			
	3.	05/1992	5,111,698	Banholzer et al.			
	4.	08/1999	5,940,985	Kamikawa et al.			
	5.	09/1999	5,954,911	Bergman et al.			
	6.	12/2000	6,158,141	Asada et al.			
	7.	12/2000	6,164,297	Kamikawa, Y.			
	8.	03/2001	6,199,298	Bergman, E.			
	9.	06/2002	6,401,361 B1	Chen et al.			
	10.	09/2002	6,453,686	Ota et al.			

### FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

### OTHER DOCUMENTS

*(including author, title, Date, Pertinent Pages, Etc.)*

Examiner Initials	Ref. No.	Title

EXAMINER: (examiner)

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.